

APPENDIX B

MONITORING AND EVALUATION REPORTING FORM: FORESTRY PROJECTS

The purpose of the Monitoring and Evaluation Reporting Form is to ensure the standardized collection of data on measured impacts from forestry projects. There are four main sections in this form.

In **Section A** (Project Description), the reporter provides the following information: the title of the project, contact information on the principal project developer, and a brief description of the project. If multiple participants are involved in the project, then these people should be listed. Much of this information will be identical to the information contained in the Estimation Reporting Form (Appendix A) and, therefore, the relevant fields are shaded to indicate to the evaluator that this information may not need to be collected again.

In **Section B** (Changes in Carbon Stock), the reporter first provides information on the estimated baseline, estimated gross changes in the carbon stock due to the project, and estimated net changes in the carbon stock (primarily drawn from the project proposal, or the Estimation Reporting Form in Appendix A; these sections are shaded). The reporter then provides information on a re-estimated baseline, measured gross changes in the carbon stock due to the project, and measured net changes in the carbon stock. A comparison of the estimated and measured impacts provides information on the performance and effectiveness of the project. The reporter provides information on the data collection and analysis methods used for calculating changes in carbon stock. The reporter also shows how methodological issues were addressed for each method by responding to quality assurance guidelines. The reporter describes how free riders, positive project spillover, project leakage, and market transformation were measured, and compares these calculations with those estimated at the start of the project. If there are differences or discrepancies, the reporter needs to explain the inconsistencies. In the last part of Section B, the reporter provides information on the measurement and operational uncertainties affecting the project (including a description of a contingency plan).

In **Section C** (Environmental Impacts), the reporter indicates, via a checklist, the types of environmental impacts affected by the project, the types of mitigation activities conducted, and consistency of the project with environmental laws and, if applicable, environmental impact statements.

In **Section D** (Socioeconomic Impacts), the reporter indicates, via a checklist, the types of socioeconomic impacts affected by the project, and the types of mitigation activities conducted.

A. PROJECT DESCRIPTION

[Same as Reported in Estimation Reporting Form]

A1. Title of project:

A2. Principal project developer and contact:

Item	Please fill in if applicable
Name of principal project developer ¹ :	
Name of project developer (English):	
Mailing address:	
Telephone:	
Fax:	
Contact person for this project:	
Mailing address:	
Telephone:	
Fax:	
Email:	

¹If multiple participants are involved in the project, then they need to assign one of the participants as the “principal project developer” to complete this form. Other participants are not allowed to report on the impacts of this specific project, to avoid multiple reporting.

A3. Other participants

List other participants:

A4. Project Description

Briefly describe the project:

B. CHANGES IN CARBON STOCK

B1. Estimated Carbon Stock in Baseline [At Time of Project Registration]

For all years of the project (1 to n), estimate the carbon stock (1) for the unadjusted baseline (without free riders), (2) for free riders, and (3) for the baseline (adjusted for free riders). Provide a separate table for each carbon pool and a total for all of the pools. Indicate the level of precision for each value.

Estimated	Unadjusted Baseline Carbon (1)	Level of Precision ^a	Carbon from Free Riders (2)	Level of Precision ^a	Without-Project Baseline Carbon (3=1-2)	Level of Precision ^a
Carbon stock (tC) – Year 1						
Carbon stock (tC) – Year n ^b						

^a Indicate the level of precision used for project values: use either (1) standard deviation around the mean value, or (2) general level of precision (e.g., low, medium, high) — if more information is available, additional levels of precision can be used.

^b The “nth” year is the last year of the project monitoring period.

B2. Estimated Gross Changes in Carbon from Project [At Time of Project Registration]

For all years of the project (1 to n), estimate (1) the carbon stock for the unadjusted project, (2) carbon loss due to project leakage, (3) carbon gains from project spillover, (4) carbon gains from market transformation, and (5) carbon stock for the with-project scenario (after adjustment). Provide a separate table for each carbon pool and a total for all of the pools. Indicate the level of precision for each value.^a

Estimated	Unadjusted With-Project Carbon (1)	Carbon from Project Leakage (2)	Carbon from Positive Project Spillover (3)	Carbon from Market Transformation (4)	With-Project Carbon (5=(1+3+4) – 2)
Carbon stock (tC) – Year 1					
Carbon stock (tC) – Year n ^b					

^a Indicate the level of precision used for project values: use either (1) standard deviation around the mean value, or (2) general level of precision (e.g., low, medium, high) — if more information is available, additional levels of precision can be used.

^b The “nth” year is the last year of the project monitoring period.

B3. Estimated Net Changes in Carbon Stock [At Time of Project Registration]

For all years of the project (1 to n), calculate the net change in carbon stock by subtracting with-project carbon (taken from Table B2) from without-project baseline carbon (taken from Table B1). Provide a separate table for each carbon pool and a total for all of the pools. Indicate the level of precision for each value.

Estimated	Without - Project Baseline Carbon (1)	Level of Precision ^a	With - Project Carbon (2)	Level of Precision ^a	Net Change in Carbon Stock (3=1-2)	Level of Precision ^a
Carbon stock (tC) – Year 1						
.						
.						
.						
Carbon stock (tC) – Year n ^b						

^a Indicate the level of precision used for project values: use either (1) standard deviation around the mean value, or (2) general level of precision (e.g., low, medium, high) — if more information is available, additional levels of precision can be used.

^b The “nth” year is the last year of the project monitoring period.

B4. Re-estimated Carbon Stock in Baseline [During Project Implementation]

For all years of the project (1 to n), re-estimate the carbon stock (1) for the unadjusted baseline use (without free riders), (2) for free riders, and (3) for the baseline (adjusted for free riders). Provide a separate table for each carbon pool and a total for all of the pools. Indicate the level of precision for each value.

Re-estimated	Unadjusted Baseline Carbon (1)	Level of Precision ^a	Carbon from Free Riders (2)	Level of Precision ^a	Without-Project Baseline Carbon (3=1-2)	Level of Precision ^a
Carbon stock (tC) – Year 1						
.						
.						
.						
Carbon stock (tC) – Year n ^b						

^a Indicate the level of precision used for project values: use either (1) standard deviation around the mean value, or (2) general level of precision (e.g., low, medium, high) — if more information is available, additional levels of precision can be used.

^b The “nth” year is the last year of the project monitoring period.

B5. Measured Gross Changes in Carbon from Project [During Project Implementation]

For all years of the project (1 to n), measure (1) the carbon stock for the unadjusted project, (2) carbon loss due to project leakage, (3) carbon gains from project spillover, (4) carbon gains from market transformation, and (5) carbon stock for the with-project scenario (after adjustment). Provide a separate table for each carbon pool and a total for all of the pools. Indicate the level of precision for each value.^a

Measured	Unadjusted With-Project Carbon (1)	Carbon from Project Leakage (2)	Carbon from Positive Project Spillover (3)	Carbon from Market Transformation (4)	With-Project Carbon (5=(1+3+4) – 2)
Carbon stock (tC) – Year 1					
.					
.					
Carbon stock (tC) – Year n ^b					

^a Indicate the level of precision used for project values: use either (1) standard deviation around the mean value, or (2) general level of precision (e.g., low, medium, high) — if more information is available, additional levels of precision can be used.

^b The “nth” year is the last year of the project monitoring period.

B6. Measured Net Changes in Carbon Stock [During Project Implementation]

For all years of the project (1 to n), calculate the net change in carbon stock by subtracting with-project carbon (taken from Table B5) from without-project baseline carbon (taken from Table B4). Provide a separate table for each carbon pool and a total for all of the pools. Indicate the level of precision for each value.

Measured	Without - Project Baseline Carbon (1)	Level of Precision ^a	With- Project Carbon (2)	Level of Precision ^a	Net Change in Carbon Stock (3=1-2)	Level of Precision ^a
Carbon stock (tC) – Year 1						
.						
.						
Carbon stock (tC) – Year n ^b						

^a Indicate the level of precision used for project values: use either (1) standard deviation around the mean value, or (2) general level of precision (e.g., low, medium, high) — if more information is available, additional levels of precision can be used.

^b The “nth” year is the last year of the project monitoring period.

B7. Data Collection and Analysis Methods

B7.1. Check one or more of the following data collection and analysis methods used for calculating changes in carbon stock:

<input type="checkbox"/>	Modeling
<input type="checkbox"/>	Remote sensing
<input type="checkbox"/>	Field/site measurements

B8. Quality Assurance Guidelines

The Quality Assurance Guidelines (QAG) request evaluators to explain how basic methodological issues are addressed in the measurements and calculations of carbon stock. A separate sheet for each data collection and analysis method needs to be provided.

Table QAG-1	Quality assurance guidelines for modeling
Calibration	<ol style="list-style-type: none"> 1. Describe how the models were calibrated to observed data. 2. Describe the criteria used to judge whether the model was appropriately calibrated. 3. Describe the input values that were changed to bring the simulation into calibration and give the reasons why a value was changed.
Data	<ol style="list-style-type: none"> 1. Describe the data that were collected to support the analysis. 2. Describe the source(s) and method(s) of collecting these data.
Weather	Describe how the weather data was chosen for the simulation.
Variance	Describe how confidence intervals were derived.

Table QAG-2	Quality assurance guidelines for remote sensing and field/site measurement
Sampling	<ol style="list-style-type: none"> 1. If a sample was used, describe the sample design (e.g., was a random sample used? proportional sample? cluster sample? stratified sample?). 2. Describe any procedures used to determine the size of the samples in order to achieve a specific level of precision at a given level of confidence. 3. If a stratified sample was used, describe how the strata were defined and how the allocation to strata was determined.
Data	See Table QAG-1.
Specification and error	Describe any substantial errors in measuring important variables and how these errors were minimized.
Outliers	If outliers were identified, describe how they were identified, how many there were, and how they were handled.
Missing data	Describe how missing data were handled.
Comparison group	<ol style="list-style-type: none"> 1. If a comparison group was not used to estimate changes in carbon stock, describe what was done to control for the effects of background variables (e.g., deforestation) that may account for any increase or decrease in addition to the project itself. 2. If a comparison group was used to estimate gross or net changes in carbon stock, describe how the group was defined.
Measurement duration	Describe the measurement periods.
Variance	See Table QAG-1.

B9. Free Riders

B9.1. Describe how free ridership was evaluated, compare to estimated free ridership, and explain inconsistencies:

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B10. Positive Project Spillover and Project Leakage

B10.1. Describe how positive project spillover and project leakage were evaluated, compare to estimated spillover and leakage, and explain inconsistencies. Where applicable, assess how effective options have been to minimize leakage or to account for spillover.

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B11. Market Transformation

B11.1. Which of the following indicators were used to describe how the market has been transformed, or that the changes in carbon stock resulting from the project are expected to persist? [Check all that may apply]

<input type="checkbox"/>	Changes in government standards or regulations
<input type="checkbox"/>	Physical changes in production or distribution practices that are not easily undone
<input type="checkbox"/>	Institutional changes in standard practice
<input type="checkbox"/>	New market entrants
<input type="checkbox"/>	Profitable market entities continue the market transformation
<input type="checkbox"/>	Key market barriers removed or reduced

B11.2. Which of the following methods were used to evaluate market transformation? [Check all that may apply]

<input type="checkbox"/>	Surveys
<input type="checkbox"/>	Sales tracking
<input type="checkbox"/>	Multivariate statistical models
<input type="checkbox"/>	Modeling of market processes
<input type="checkbox"/>	Econometric studies
<input type="checkbox"/>	Process evaluations

B11.3. Compare measured changes from market transformation to estimated changes from market transformation, and explain inconsistencies:

B12. Uncertainty

B12.1. Identify and discuss key measurement and operational uncertainties affecting estimates of carbon stock:

Measurement Uncertainties:

Operational Uncertainties:

B12.2. Describe the project's contingency plan that identifies potential project uncertainties and discusses the contingencies provided within the project estimates to manage the uncertainties.

Contingency plan:

B12.3. Assess the possibility of local or regional political and economic instability in the short-term (5 years or less) and how this may affect project performance.

Political and economic instabilities:

C. ENVIRONMENTAL IMPACTS

C1. Identify and check whether the project will have one or more environmental impacts and, where appropriate, describe the type of impact. If there are differences or discrepancies with the information in the Monitoring and Evaluation Reporting Form, explain the inconsistencies.

Potential Environmental Impacts		
	Impact Category	Comments
<input type="checkbox"/>	Agrochemicals	Application and disposal of pesticides and fertilizers
<input type="checkbox"/>	Biological diversity	Endangered plants and animal species, critical habitats, and protected areas
<input type="checkbox"/>	Coastal and marine resources management	Coral reefs, mangroves, and wetlands
<input type="checkbox"/>	Dams and reservoirs*	Implementation and operation
<input type="checkbox"/>	International treaties and agreements on environment and natural resources	Status and application of current and pending treaties and agreements, including notification requirements
<input type="checkbox"/>	International waterways	Quality or quantity of water flows
<input type="checkbox"/>	Natural hazards	Measures to address earthquakes, floods, volcanic activity, etc.
<input type="checkbox"/>	Soil conservation	Protection and management
<input type="checkbox"/>	Sustainable land use	Multiple use management and non-declining yields
<input type="checkbox"/>	Tropical forests	Protection and management
<input type="checkbox"/>	Water quality	Protection and enhancement
<input type="checkbox"/>	Watersheds	Protection and management
<input type="checkbox"/>	Wetlands	Protection and management (e.g., estuaries, lakes, mangroves, marshes and swamps)
<input type="checkbox"/>	Wildlands	Protection and management
<input type="checkbox"/>	Wildlife and habitat protection or enhancement	Protection and enhancement

*Without project

C2. Identify any proposed mitigation activities.

Mitigation activities:

D. SOCIOECONOMIC IMPACTS

D1. Indicate whether the project will have one or more socioeconomic impacts and, where appropriate, describe the type of impact. If there are differences or discrepancies with the information in the Estimation Reporting Form, explain the inconsistencies.

<input type="checkbox"/>	Concerns of local communities and indigenous peoples regarding all project operations	<input type="checkbox"/>	Land settlement
<input type="checkbox"/>	Cultural properties (archeological sites, historic monuments, and historic settlements)	<input type="checkbox"/>	Legal and customary land and resource use rights of local communities and indigenous peoples
<input type="checkbox"/>	Distribution of income and of wealth	<input type="checkbox"/>	Long-term income opportunities for local populations (e.g., jobs)
<input type="checkbox"/>	Employment rights	<input type="checkbox"/>	Maintaining and fostering local cultures
<input type="checkbox"/>	Gender equity	<input type="checkbox"/>	Public participation and capacity building
<input type="checkbox"/>	Human rights	<input type="checkbox"/>	Quality of life (local or regional)
<input type="checkbox"/>	Induced development and other sociocultural aspects (secondary growth of settlements and infrastructure)	<input type="checkbox"/>	Tenure and land use rights
<input type="checkbox"/>	Involuntary resettlement	<input type="checkbox"/>	Tribal peoples (measures to address the rights of tribal peoples, including traditional land and water rights)

D2. Identify any proposed mitigation activities.

Mitigation activities: